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## A LOWER BOUND FOR REVERSIBLE AUTOMATA

PIERRE-CYRILLE HÉAM<sup>1</sup>

**Abstract.** A reversible automaton is a finite automaton in which each letter induces a partial one-to-one map from the set of states into itself. We solve the following problem proposed by Pin. Given an alphabet  $A$ , does there exist a sequence of languages  $K_n$  on  $A$  which can be accepted by a reversible automaton, and such that the number of states of the minimal automaton of  $K_n$  is in  $O(n)$ , while the minimal number of states of a reversible automaton accepting  $K_n$  is in  $O(\rho^n)$  for some  $\rho > 1$ ? We give such an example with  $\rho = \left(\frac{9}{8}\right)^{\frac{1}{12}}$ .

**Résumé.** Un automate réversible est un automate fini dans lequel chaque lettre réalise une fonction injective de l'ensemble des états dans lui-même. On résout dans cet article le problème suivant posé par Pin : étant donné un alphabet  $A$ , existe-t-il une suite de langages  $K_n$  sur  $A$  qui peuvent être reconnus par un automate réversible, et tels que le nombre d'états de l'automate minimal de  $K_n$  soit en  $O(n)$  alors que le nombre minimal d'états d'un automate réversible reconnaissant  $K_n$  soit en  $O(\rho^n)$  avec  $\rho > 1$  ? On donne un tel exemple avec  $\rho = \left(\frac{9}{8}\right)^{\frac{1}{12}}$ .

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### INTRODUCTION

In this paper we answer an open question on reversible automata proposed by Pin in [10]. Reversible automata form a natural class of automata with links to artificial intelligence [1], and to biprefix codes [4]. Moreover reversible automata are used to study inverse monoids, inverse automata [12,13] and certain topological problems [7,10,12,13]. We prove that computing a reversible automaton which

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recognizes a language given by its minimal automaton can not be done, in some cases, faster than in exponential time (if the alphabet contains at least two letters).

We denote by  $|K|$  the cardinality of a set  $K$ .

We assume that the reader is familiar with the basic definitions on words and formal languages. For more information we refer the reader to [2]. Let us denote by  $|u|$  the length of a word and by  $u^\sim$  its mirror.

Let us recall that a finite automaton is a 5-tuple  $\mathcal{A} = (Q, A, E, I, F)$  where  $Q$  is a finite set of states,  $A$  is the alphabet,  $E \subseteq Q \times A \times Q$  is the set of edges (or transitions),  $I \subseteq Q$  is the set of initial states and  $F \subseteq Q$  is the set of final states. A path in  $\mathcal{A}$  is a finite sequence of consecutive edges:

$$p = (q_0, a_0, q_1), (q_1, a_1, q_2), \dots, (q_{n-1}, a_n, q_n).$$

The label of the path  $p$  is the word  $a_1 a_2 \dots a_n$ , its origin is  $q_0$  and its end is  $q_n$ . A word is accepted by  $\mathcal{A}$  if it is the label of a path in  $\mathcal{A}$  having its origin in  $I$  and its end in  $F$ . The set of words accepted by  $\mathcal{A}$  is denoted by  $L(\mathcal{A})$ . For every state  $q$  and language  $K$ , we denote by  $q.K$  the subset of  $Q$  of all the states which are the end of a path having its origin in  $q$  and its label in  $K$ . An automaton is said to be *trim* if for each state  $q$  there exists a path from an initial state to  $q$  and a path from  $q$  to a final state. An automaton is *deterministic* if it has a unique initial state and does not contain any pair of edges of the form  $(q, a, q_1)$  and  $(q, a, q_2)$  with  $q_1 \neq q_2$ . An important result of automata theory states that for an automaton  $\mathcal{A}$  there exists exactly one (up to isomorphism) deterministic automaton with a minimal number of states which accepts the same language as  $\mathcal{A}$ . It is called the *minimal automaton* of  $L(\mathcal{A})$ . A *reversible* automaton is a finite automaton in which each letter induces a partial one-to-one map from the set of states into itself. It also is an automaton which does not contain any pair of edges of the form  $(q, a, q_1)$  and  $(q, a, q_2)$  with  $q_1 \neq q_2$  or  $(q_1, a, q)$  and  $(q_2, a, q)$  with  $q_1 \neq q_2$ . It may happen that a reversible automaton is not deterministic because it may have several initial states. Reversible automata were studied by Pin [10] and by Silva [11]. For an automaton  $\mathcal{A} = (Q, A, E, I, F)$ , let us introduce the following languages, for  $p$  and  $q$  in  $Q$ :

$$L_{p,q}(\mathcal{A}) = \{u \in A^* \mid p.u = q\}.$$

If  $I = \{i\}$  we write  $L_p(\mathcal{A})$  for  $L_{i,p}(\mathcal{A})$ , and if  $F = \{f\}$  we write  $R_q(\mathcal{A})$  for  $L_{q,f}(\mathcal{A})$ . If there is no ambiguity we just write  $L_{p,q}$ ,  $L_p$  and  $R_q$ .

For a language  $L$  which is recognized by a reversible automaton we introduce two invariants:  $m(L)$ , the number of states of its minimal automaton and  $c(L)$  the minimal number of states of a reversible automaton accepting  $L$ . We denote by  $r(n)$  and  $R(n)$  the following functions:

$$r(n) = \min\{c(L) \mid m(L) = n\} \text{ and } R(n) = \max\{c(L) \mid m(L) \leq n\}.$$

It is proved in [10] that  $r(n) = O\left(\frac{\ln n}{\ln \ln n}\right)^2$ . Let us remark that  $R(n)$  is an increasing function of  $n$ . We prove here that  $R(n) = \Omega(\rho^n)$  for some  $\rho > 1$ .

1. MAIN THEOREM

**Theorem 1.1.** *The relation  $R(n) = \Omega(\rho^n)$  holds with  $\rho = \left(\frac{3\sqrt{2}}{4}\right)^{\frac{1}{6}} \simeq 1.001$  if the alphabet contains at least two letters.*

For the proof, let us consider the language  $L = \{aa, ab, ba\}$  on the alphabet  $A = \{a, b\}$ . Before we proceed, let us note the following technical result.

**Lemma 1.2.** *Let  $\mathcal{A} = (Q, A, E, i, F)$  be a reversible trim automaton accepting a non-empty subset of  $L = \{aa, ab, ba\}$ . For each state  $s \in Q$ , let  $L_s$  be the set of words which can be read from state  $i$  to  $s$ . Then one of the following holds:*

- (a)  $|F| = 3$  and  $|L_s| = 1$  for each state  $s \in F$ ;
- (b)  $|F| = 2$ ,  $F = \{s_1, s_2\}$ ,  $|L_{s_1}| = 2$  and  $|L_{s_2}| = 1$ ;
- (c)  $|F| = 2$  and  $|L_s| = 1$  for each state  $s \in F$ ;
- (d)  $|F| = 1$ ,  $F = \{s\}$  and  $|L_s| = 2$ ;
- (e)  $|F| = 1$ ,  $F = \{s\}$  and  $|L_s| = 1$ .

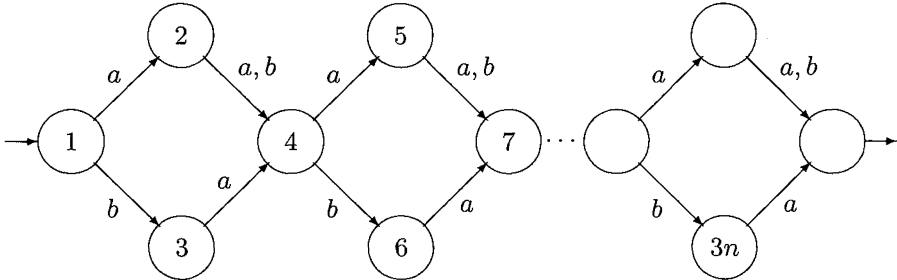
*Proof.* First we observe that in a reversible automaton on 2 letters, each state is the origin (resp. the end) of at most 2 transitions. Since  $|L| = 3$  and  $\mathcal{A}$  is trim,  $F$  has at most 3 elements, and if  $|F| = 3$ , then  $|L_s| = 1$  for each final state  $s$ , that is (a) holds.

If  $|F| = 2$ , say  $F = \{s_1, s_2\}$ , then  $|L_{s_1}| + |L_{s_2}| \leq 3$ . Since  $\mathcal{A}$  is trim  $|L_s| > 0$  for every state, so (b) or (c) holds.

Finally, let us assume that  $F = \{s\}$  is a singleton. We need to verify that  $|L_s| \neq 3$ , that is,  $\mathcal{A}$  does not accept all of  $L$ . If there is no  $a$ -labeled transition out of  $i$ , then  $L_s = L(\mathcal{A}) = \{ba\}$  and (e) holds. If there is no  $b$ -labeled transition out of  $i$ , then  $L_s \subseteq \{ab, aa\}$  and (d) or (e) holds. We now consider the case where both an  $a$ -labeled transition and a  $b$ -labeled transition start in state  $i$ . If  $i.a = i.b$ , then there is no  $b$ -labeled transition from  $i.a$  to the final state  $s$  since  $bb$  cannot be accepted, and hence  $L_s = \{aa, ba\}$  and (d) holds. On the other hand, suppose that  $i.a \neq i.b$ . Since  $\mathcal{A}$  is trim, there is an  $a$ -labeled transition from state  $i.b$  to  $s$ . But  $\mathcal{A}$  is reversible, so there is no  $a$ -labeled transition from state  $i.a$  to  $s$ , and the word  $aa$  is not accepted. In particular,  $L_s = \{ab, ba\}$  and (d) holds.  $\square$

For every integer  $n$ ,  $L^n$  is a finite language which can be recognized by a reversible automaton (it is easy to check that every finite language can be recognized by a reversible automaton). We prove that  $c(L^{2^n}) \geq \rho^n$ , while  $m(L^{2^n}) = O(n)$ .

First observe that, for every positive integer  $n$ ,  $|L^n| = 3^n$ ,  $L^n = (L^n)^\sim$  and every word of  $L^n$  has length  $2n$ . Furthermore it is easy to check that the minimal automaton recognizing  $L^n$  is the following one:



Thus the minimal automaton of  $L^n$  has  $m(L^n) = 3n + 1$  states. Moreover, if  $\mathcal{A}$  is a trim automaton which recognizes a sublanguage of  $L^n$ , then for all pairs of states  $p$  and  $q$  of  $\mathcal{A}$ , all the words of  $L_{p,q}$  have the same length.

Let  $\mathcal{A} = (Q, A, E, \{i\}, \{f\})$  be a reversible automaton with a unique initial state and a unique final state recognizing a sublanguage of  $L^{2n}$ . Let  $M(\mathcal{A}) = i.A^{2n}$  be the set of states of  $\mathcal{A}$  we can reach from  $i$  by reading a word of length  $2n$  (half of the length of the words of  $L^{2n}$ ).

**Proposition 1.3.** *With the above notation, the following relation holds*

$$|L(\mathcal{A})| \leq \frac{1}{2} \left( \sum_{q \in M(\mathcal{A})} |L_q|^2 + |R_q^\sim|^2 \right). \tag{1}$$

*Proof.* By definition we have:

$$L(\mathcal{A}) = \bigcup_{q \in M(\mathcal{A})} L_q R_q.$$

But  $\mathcal{A}$  is deterministic and hence, if  $p \neq q$  then  $L_p \cap L_q = \emptyset$ . Consequently, if  $p, q \in M(\mathcal{A})$  then  $L_p R_p \cap L_q R_q = \emptyset$ . Indeed the prefix of length  $2n$  of a word of  $L_p R_p \cap L_q R_q$  would have to be in  $L_p \cap L_q$ . Thus we get:

$$|L(\mathcal{A})| = \sum_{q \in M(\mathcal{A})} |L_q| |R_q|.$$

Since  $R_q$  is finite we have  $|R_q| = |R_q^\sim|$ . But for every pair of real numbers  $(x, y)$  we have  $xy \leq \frac{1}{2}(x^2 + y^2)$ . From this we deduce (1). □

For the next proposition and the next three lemmas we consider a reversible automaton  $\mathcal{A} = (Q, A, E, \{i\}, F)$  recognizing a sublanguage of  $L^n$  (where  $n$  is a

strictly positive integer), and having a unique initial state  $i$ . For every state  $q$  of  $Q$  let us denote by  $n_q$  the cardinal of  $L_q$ .

**Proposition 1.4.** *The following equality holds:*

$$\sum_{q \in F} n_q^2 \leq 8^n. \tag{2}$$

To prove Proposition 1.4 we proceed by induction on  $n$  and we need some technical lemmas. For the proof we can assume without loss of generality that  $\mathcal{A}$  is trim.

**Lemma 1.5.** *If  $n = 1$ , Proposition 1.4 is true.*

*Proof.* Applying Lemma 1.2 to  $\mathcal{A}$ , we get:

In case (a),  $\sum_{q \in F} n_q^2 = |L_{i,s_1}|^2 + |L_{i,s_2}|^2 + |L_{i,s_3}|^2 = 3.$

In case (b),  $\sum_{q \in F} n_q^2 = |L_{i,s_1}|^2 + |L_{i,s_2}|^2 = 4 + 1 = 5.$

In case (c),  $\sum_{q \in F} n_q^2 = |L_{i,s_1}|^2 + |L_{i,s_2}|^2 = 1 + 1 = 2.$

In case (d),  $\sum_{q \in F} n_q^2 = |L_{i,s_1}|^2 = 4.$

In case (e),  $\sum_{q \in F} n_q^2 = |L_{i,s_1}|^2 = 1.$

This completes the proof. □

We denote by  $S$  the set of states which we can reach by reading a word of length  $2n - 2$  (every word of  $L^n$  has length  $2n$ ).

**Lemma 1.6.** *For every  $q$  in  $F$  we have*

$$n_q = \sum_{s \in S} n_s |L_{s,q}|. \tag{3}$$

*Proof.* Since every word of  $L(\mathcal{A})$  has length  $2n$  we have

$$L_q = \bigcup_{s \in S} L_s L_{s,q}. \tag{4}$$

But  $\mathcal{A}$  is deterministic, so as in the proof of Proposition 1.3 the union in (4) is disjoint. Since  $n_q = |L_q|$  for every state  $q$  in  $Q$ , we can now deduce formula (1.6) from formula (4). □

We now prove that:

**Lemma 1.7.** *For all  $s \in S$  we have*

$$\sum_{q \in F} \sum_{t \in S} |L_{s,q}| |L_{t,q}| \leq 8. \tag{5}$$

*Proof.* Let  $s \in S$  and let  $F_s$  be the set of states in  $F$ , which we can reach from  $s$ . If  $q \in F$ , we denote by  $I_q$  the set of states of  $S$  from which  $q$  can be reached. The sum in formula (5) is in fact equal to

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}|.$$

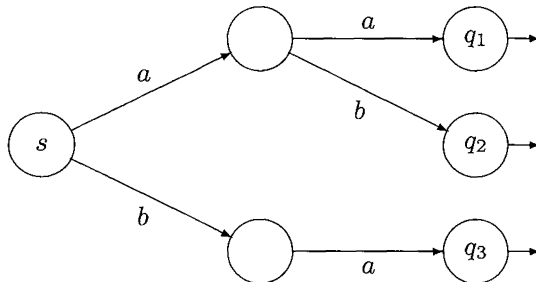
Since  $\mathcal{A}$  is trim, the words which can be read from a state in  $S$  to a state in  $F$ , are all in  $L$ . Moreover, as  $\mathcal{A}$  is reversible, if  $q \in F$ , then the languages  $L_{t,q}$  ( $t \in I_q$ ) are pairwise disjoint and hence

$$\sum_{t \in I_q} |L_{t,q}| \leq 3.$$

Consider the automaton obtained from  $\mathcal{A}$  by first making  $s$  the initial state and then trimming. This automaton satisfies the hypothesis of Lemma 1.2 and one of the following five cases arises.

- (a)  $|F_s| = 3$  and  $|L_{s,q}| = 1$  for each  $q \in F_s$ .

We have, say, the following configuration



Note that there is no state  $t \in I_{q_1}$  such that  $t.b = s.a$ : if there was, we would have  $t.bb = q_2$ , so  $bb \in L_{t,q_2} \subseteq L$ , a contradiction. Since  $\mathcal{A}$  is trim, it follows that  $ba \notin \bigcup_{t \in I_{q_1}} L_{t,q_1}$  and hence

$$\sum_{t \in I_{q_1}} |L_{t,q_1}| \leq 2.$$

We already observed that

$$\sum_{t \in I_{q_2}} |L_{t,q_2}| \leq 3 \text{ and } \sum_{t \in I_{q_3}} |L_{t,q_3}| \leq 3$$

so

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| = \sum_{q \in F_s} \sum_{t \in I_q} |L_{t,q}| \leq 2 + 3 + 3 = 8.$$

(b)  $F_s = \{q_1, q_2\}$  with  $|L_{s,q_1}| = 2$  and  $|L_{s,q_2}| = 1$ . Since  $\mathcal{A}$  is reversible we have either  $I_{q_1} = \{s\}$  or  $I_{q_1} = \{s, u\}$  with  $|L_{u,q_1}| = 1$ .

(b1) If  $I_{q_1} = \{s\}$  we have

$$\sum_{t \in I_{q_1}} |L_{t,q_1}| |L_{s,q_1}| = 4$$

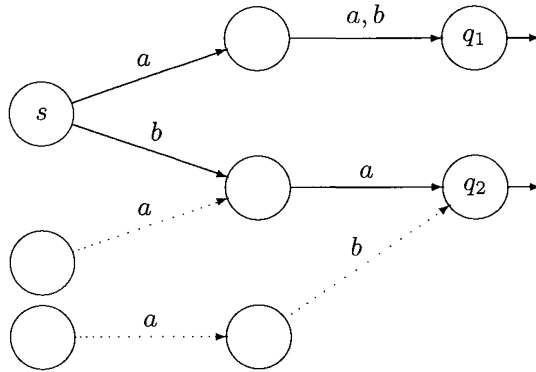
and

$$\sum_{t \in I_{q_2}} |L_{t,q_2}| |L_{s,q_2}| = \sum_{t \in I_{q_2}} |L_{t,q_2}| \leq 3$$

so

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| \leq 4 + 3 = 7.$$

This case can be illustrated in the following figure:



(b2) Assume that  $I_{q_1} = \{s, u\}$ . By reversibility, we have  $L_{u,q_1} = L \setminus L_{s,q_1}$ . Since  $|L_{s,q_1}| = 2$ , it follows that  $|L_{u,q_1}| = 1$  and

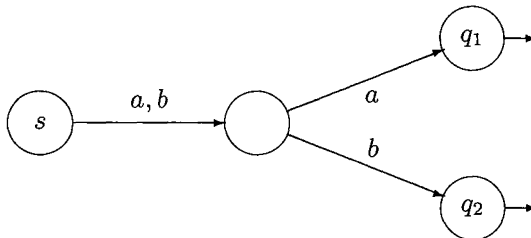
$$\sum_{t \in I_{q_1}} |L_{s,q_1}| |L_{t,q_1}| = 2 (|L_{s,q_1}| + |L_{u,q_1}|) = 6.$$

If  $I_{q_2} = \{s\}$ , we are finished:

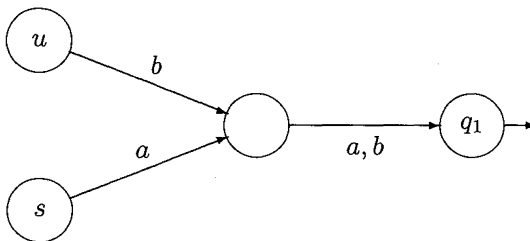
$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| = 6 + 1 = 7.$$

In order to go further, let us analyze this situation in more detail. If  $L_{s,q_1} = \{aa, ba\}$ , then by reversibility we have  $s.b = s.a$ . Moreover in that case  $L_{s,q_2} = \{ab\}$ , so that  $(s.a).b = q_2$ . This implies in turn that  $s.bb = q_2$ ,  $bb \in L_{s,q_2}$ , a contradiction.

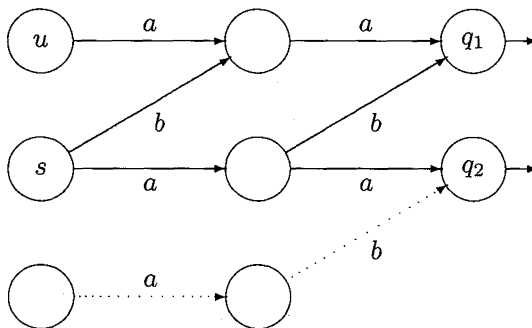




Now if  $L_{s,q_1} = \{aa, ab\}$  then by determinism both the  $a$ -labeled and the  $b$ -labeled transitions into  $q_1$  come from  $s.a$ . Moreover  $L_{u,q_1} = \{ba\}$ , so  $u.b = s.a$  and we now have  $u.bb = q_1$ ,  $bb \in L_{u,q_1}$ , again a contradiction.



Thus  $aa \notin L_{s,q_1}$  and we have  $L_{s,q_1} = \{ab, ba\}$ ,  $L_{s,q_2} = L_{u,q_1} = \{aa\}$  and the following configuration



Suppose that  $v \in I_{q_2}$ ,  $v \neq s$ . Then  $aa \notin L_{v,q_2}$  by reversibility. Also  $ba \notin L_{v,q_2}$ : otherwise  $v.b = s.a$  and  $v.bb = q_1$ . This implies  $bb \in L_{v,q_1} \subseteq L$ , a contradiction. Thus if  $v \neq s$  lies in  $I_{q_2}$ , then  $L_{v,q_2} = \{ab\}$ . This shows that

$$\sum_{t \in I_{q_2}} |L_{s,q_2}||L_{t,q_2}| = \sum_{t \in I_{q_2}} |L_{t,q_2}| \leq 2$$

and hence

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| \leq 8.$$

(c)  $|F_s| = 2$  and  $|L_{s,q}| = 1$  for each  $q \in F_s$ . Since  $\sum_{t \in I_q} |L_{t,q}| \leq 3$  for each  $q \in F$ , we have

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| = \sum_{q \in F_s} \sum_{t \in I_q} |L_{t,q}| \leq 2 \times 3 = 6.$$

(d-e)  $F_s = \{q\}$  and  $|L_{s,q}| = 2$  (resp. 1). Again using that  $\sum_{t \in I_q} |L_{t,q}| \leq 3$ , we find that

$$\sum_{q \in F_s} \sum_{t \in I_q} |L_{s,q}| |L_{t,q}| \leq 6 \text{ (resp. 3).}$$

□

Now we can prove Proposition 1.4.

*Proof.* We proceed by induction on  $n$ . The proposition is true for  $n = 1$  by Lemma 1.5.

Assume now that it is true for  $n$ . Let  $\mathcal{A} = (Q, A, E, \{i\}, F)$  be a reversible trim automaton with a unique initial state  $i$  recognizing a subset of  $L^{n+1}$ . According to Lemma 1.6

$$n_q^2 = \sum_{(s,t) \in S^2} n_s n_t |L_{s,q}| |L_{t,q}|. \tag{6}$$

Thus we have:

$$\begin{aligned} \sum_{q \in F} n_q^2 &= \sum_{q \in F} \sum_{(s,t) \in S^2} n_s n_t |L_{s,q}| |L_{t,q}| = \sum_{(s,t) \in S^2} \left( \sum_{q \in F} |L_{s,q}| |L_{t,q}| \right) n_s n_t \\ &\leq \frac{1}{2} \sum_{(s,t) \in S^2} \left( \sum_{q \in F} |L_{s,q}| |L_{t,q}| \right) n_s^2 + \frac{1}{2} \sum_{(s,t) \in S^2} \left( \sum_{q \in F} |L_{s,q}| |L_{t,q}| \right) n_t^2 \\ &\leq \sum_{(s,t) \in S^2} \left( \sum_{q \in F} |L_{s,q}| |L_{t,q}| \right) n_s^2. \end{aligned}$$

From this, by Lemma 1.7, we have

$$\sum_{q \in F} n_q^2 \leq 8 \sum_{s \in S} n_s^2.$$

Now we can apply the induction hypothesis to the automaton deduced from  $\mathcal{A}$  by taking  $S$  for the set of final states rather than  $F$ , and by making it trim. We obtain:

$$\sum_{s \in S} n_s^2 \leq 8^n.$$

This establishes the proposition. □

Now we prove the main theorem.

*Proof.* Let  $n$  be a positive integer and let  $\mathcal{A} = (Q, A, E, I, F)$  be a reversible automaton recognizing  $L^{2n}$ . For each  $i \in I$  and  $f \in F$  let us denote by  $\mathcal{A}_{if}$  the automaton  $(Q, A, E, \{i\}, \{f\})$ .

It is clear that

$$L(\mathcal{A}) = \bigcup_{i \in I, f \in F} L(\mathcal{A}_{if}). \tag{7}$$

According to formula (1) we have

$$|L(\mathcal{A}_{if})| \leq \frac{1}{2} \left( \sum_{q \in M(\mathcal{A}_{if})} |L_q(\mathcal{A}_{if})|^2 + |R_q(\mathcal{A}_{if})^\sim|^2 \right). \tag{8}$$

Now the reversible automata  $(Q, A, E, \{i\}, M(\mathcal{A}_{if}))$  recognizes a sublanguage of  $L^n$ . By formula (2), we have

$$\sum_{q \in M(\mathcal{A}_{if})} |L_q(\mathcal{A}_{if})|^2 \leq 8^n.$$

Moreover, let us denote by  $E' = \{(p, a_i, q) \mid (q, a_i, p) \in E\}$ . The reversible automata  $(Q, A, E', \{f\}, M(\mathcal{A}_{if}))$  also recognizes a sublanguage of  $L^n$ , and by (2), we have

$$\sum_{q \in M(\mathcal{A}_{if})} |R_q(\mathcal{A}_{if})^\sim|^2 \leq 8^n.$$

Thus,  $|L(\mathcal{A}_{if})| \leq 8^n$  by formula 8.

By formula (7), it comes  $|L(\mathcal{A})| \leq |I||F|8^n$ . But  $|L(\mathcal{A})| = 9^n$ , so

$$|I||F| \geq \left(\frac{9}{8}\right)^n.$$

It follows that  $I$  or  $F$  contain a least  $r^n$  elements with  $r = \frac{3\sqrt{2}}{4}$ . Since  $I$  and  $F$  are subsets of  $Q$  we have  $|Q| \geq r^n$ .

We have proved that  $c(L^{2n}) \geq r^n$ . But  $m(L^{2n}) = 6n + 1$ . Hence  $R(6n + 1) = \Omega(r^n)$  and, since  $R(n)$  is an increasing function of  $n$ , this proves the theorem with  $\rho = r^{\frac{1}{6}}$ . □

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